

# **Schedule 143**

## **LINCOLN-LANCASTER PERSONNEL DEPARTMENT**

Nebraska Records Management Division  
440 South 8<sup>th</sup> Street, Suite 210  
Lincoln, NE 68508  
(402) 471-2559

**REQUEST FOR APPROVAL  
OF RECORDS RETENTION  
AND DISPOSITION SCHEDULE**

**TO: STATE RECORDS ADMINISTRATOR  
STATE OF NEBRASKA**

SCHEDULE

**143**

AGENCY, BOARD OR COMMISSION

**LINCOLN – LANCASTER COUNTY**  
DIVISION, BUREAU OR OTHER UNIT

**PERSONNEL DEPARTMENT**

**Supersedes Edition of December 2, 2002**

**PART I -- AGENCY STATEMENT**

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE

TITLE

*Don W. Tarte*  
*PERSONNEL DIRECTOR*

DATE

*4-12-04*

**PART II - ARCHIVAL APPROVAL**

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE

*Andrea I. Faltis*

STATE ARCHIVIST

DATE

*Apr. 15, 2004*

**PART III -- APPROVAL BY STATE RECORDS ADMINISTRATOR**

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE

*John A. Sale*  
STATE RECORDS ADMINISTRATOR

DATE

*April 26, 2004*

## **INSTRUCTIONS FOR USING THIS SCHEDULE**

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of records, regardless of the media on which they reside. Local Agencies General Records Schedule #24 contains those records common to most local government agencies. This schedule, along with the unique schedule written specifically for records unique to your office, approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

### **DISPOSING OF RECORDS**

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over General Records Schedule #24 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. This report establishes that the destruction was performed in your normal course of business.

**Please remember to retain the blank form for future use.**

### **NON-SCHEDULED RECORDS**

Contact a Records Management Consultant in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

### **SCHEDULE UPDATE**

It is the responsibility of each agency to periodically update their schedule. A Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that you have the ongoing authority to discard records when their useful life has ended.

### **QUESTIONS**

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division  
440 South 8th Street, Suite 210  
Lincoln, NE 68508-2294  
402-471-2559**

# INDEX

## **SCHEDULE 143 LINCOLN-LANCASTER PERSONNEL DEPARTMENT**

	<b>Item</b>	<b>Page</b>
<b><u>ADMINISTRATION</u></b> .....	<b>143-1</b>	<b>8</b>
BUDGET PREPARATION MATERIALS .....	143-1-1	8
CASUAL WORKER EMPLOYEE PERSONNEL FILES .....	143-1-4-2	8
COUNTY BILLING INFORMATION .....	143-1-3	8
DELETED RECORDS.....		19
EMPLOYEE PERSONNEL FILES.....	143-1-4	8
GENERAL CORRESPONDENCE.....	143-1-2	8
GRIEVANCES .....	143-1-5	8
LAYOFF FILES.....	143-1-15	9
LEAVE REQUESTS.....	143-1-6	8
OUTSIDE EMPLOYMENT REQUEST FORMS.....	143-1-7	9
PAYMENT VOUCHERS AND VOUCHER REGISTERS.....	143-1-8	9
PAYROLL AUTHORIZATIONS.....	143-1-9	9
PERSONNEL BOARD BOOKS .....	143-1-10	9
PROBATIONARY AND REGULAR EMPLOYEE PERSONNEL FILES .....	143-1-4-1	8
PURCHASE ORDERS .....	143-1-11	9
RECORDS DISPOSITION REPORT (BLANK FORM) .....		20
RECORDS DISPOSITION REPORTS (COMPLETED FORMS).....	143-1-12	9
SUGGESTION SYSTEM .....	143-1-16	9
TIME CARDS.....	143-1-13	9
YEAR-END SICK LEAVE REPORTS.....	143-1-14	9
<b><u>BENEFITS</u></b> .....	<b>143-2</b>	<b>10</b>
BENEFIT CALLING LOG.....	143-2-6	10
FEBA ELECTION FORMS .....	143-2-2	10
FEBA REPORTS .....	143-2-5	10
OPEN ENROLLMENT MISCELLANEOUS RECORDS.....	143-2-3	10
RETIREMENT/DEFERRED COMPENSATION REPORTS .....	143-2-4	10
<b><u>CLASS AND COMPENSATION</u></b> .....	<b>143-3</b>	<b>10</b>
CITY/COUNTY CLASS DESCRIPTIONS .....	143-3-1	10
CLASS AND COMPENSATION CORRESPONDENCE .....	143-3-3	10

CLASS DESCRIPTIONS FROM COMPARABLE CITIES/COUNTIES .....	143-3-2	10
COMMISSION ON INDUSTRIAL RELATIONS (CIR) DOCUMENTS .....	143-3-10	11
JOB AUDITS .....	143-3-4	11
NEGOTIATIONS MATERIALS.....	143-3-5	11
PAY PLANS .....	143-3-6	11
SALARY SURVEYS .....	143-3-7	11
SPECIAL STUDIES AND/OR REPORTS .....	143-3-8	11
UNION CONTRACTS .....	143-3-9	11

## **EMPLOYMENT .....143-4 11**

### **GENERAL EMPLOYMENT RECORDS.....143-4-1 11**

APPLICANT TEST PAPERS.....	143-4-1-1	11
APPLICANT TEST SCORES SUMMARY REPORT.....	143-4-1-2	11
DISCRIMINATION COMPLAINTS .....	143-4-1-3	12
EEO-4 REPORTS .....	143-4-1-4	12
EMPLOYMENT CONTRACTS.....	143-4-1-5	12
EMPLOYMENT TESTS.....	143-4-1-6	12
EXIT INTERVIEWS.....	143-4-1-14	13
JOB ADVERTISEMENTS .....	143-4-1-7	12
JOB ANNOUNCEMENTS.....	143-4-1-8	12
JOB APPLICATIONS .....	143-4-1-9	12
JOB REQUISITIONS .....	143-4-1-10	12
MANAGEMENT PROCESS FILES.....	143-4-1-11	12
PROMOTIONAL INTERVIEW QUESTION.....	143-4-1-12	12
SUPPLEMENTAL QUESTIONNAIRES.....	143-4-1-13	13

### **DRUG AND ALCOHOL TESTING RECORDS.....143-4-2 13**

ALCOHOL PROGRAM ANNUAL MANAGEMENT INFORMATION SYSTEM (MIS) REPORTS .....	143-4-2-1	13
ALCOHOL PROGRAM CALIBRATION DOCUMENTATION .....	143-4-2-2	13
ALCOHOL PROGRAM EDUCATION AND TRAINING RECORDS.....	143-4-2-3	13
ALCOHOL PROGRAM RECORDS OF EMPLOYEE EVALUATION AND REFERRAL.....	143-4-2-4	13
ALCOHOL PROGRAM RECORDS OF TEST RESULTS LESS THAN 0.02 .....	143-4-2-5	13
ALCOHOL PROGRAM RECORDS RELATED TO THE COLLECTION PROCESS EXCEPT CALIBRATION OF EVIDENTIARY BREATH TESTING DEVICES .....	143-4-2-6	14
ALCOHOL TEST RECORDS WITH ALCOHOL READINGS OF 0.02 OR GREATER .....	143-4-2-7	14
DRUG AND ALCOHOL TESTING CORRESPONDENCE.....	143-4-2-8	14
DRUG PROGRAM ANNUAL MIS REPORTS .....	143-4-2-9	14
DRUG PROGRAM EDUCATION AND TRAINING RECORDS .....	143-4-2-10	14

DRUG RECORDS OF COVERED EMPLOYEE REFERRALS TO SUBSTANCE ABUSE PROFESSIONAL AND RETURN TO DUTY AND FOLLOW-UP .....	143-4-2-11	14
DRUG PROGRAM RECORDS OF COVERED EMPLOYEE VERIFIED POSITIVE DRUG TEST RESULTS .....	143-4-2-12	15
DRUG PROGRAM RECORDS RELATED TO THE COLLECTION PROCESS.....	143-4-2-13	15
FHWA, FTA, NON-DOT POLICY .....	143-4-2-14	15
RECORDS OF VERIFIED NEGATIVE DRUG TEST RESULTS.....	143-4-2-15	15
THIRD (3 <sup>rd</sup> ) PARTY ADMINISTRATOR CONTRACT.....	143-4-2-16	15
THIRD PARTY DRIVER RECORDS.....	143-4-2-17	15
THIRD PARTY EXAMINER RECORDS.....	143-4-2-18	15
<b>EMPLOYEE ASSISTANCE PROGRAM (EAP) RECORDS.....</b>	<b>143-4-3</b>	<b>15</b>
ANNUAL REPORTS (EAP).....	143-4-3-1	15
CLIENT REPORTS .....	143-4-3-2	16
CONTRACTS.....	143-4-3-3	16
CRITICAL INCIDENT STRESS POLICIES.....	143-4-3-5	16
EAP CORRESPONDENCE.....	143-4-3-4	16
FIRE, POLICE, AIRPORT AUTHORITY MONTHLY REPORTS.....	143-4-3-6	16
MEETING MINUTES/NOTICES .....	143-4-3-7	16
MONTHLY REPORTS .....	143-4-3-8	16
TRAINING RECORDS .....	143-4-3-9	16
<b>MAYOR'S AND COMMISSIONER'S AWARD OF EXCELLENCE RECORDS .....</b>	<b>143-4-4</b>	<b>16</b>
MEETING MINUTES .....	143-4-4-1	16
NOMINATIONS .....	143-4-4-2	17
POLICY.....	143-4-4-3	17
REPORTS .....	143-4-4-4	17
<b>TRAINING RECORDS.....</b>	<b>143-4-5</b>	<b>17</b>
ATTENDANCE RECORDS .....	143-4-5-1	17
COURSE FILE .....	143-4-5-2	17
FLYERS .....	143-4-5-3	17
<b><u>POLICE AND FIRE PENSION.....</u></b>	<b>143-5</b>	<b>17</b>
ACTUARY REPORTS .....	143-5-1	17
MEMBER FILES.....	143-5-3	18
MINUTES FOR CITY COUNCIL, MAYOR, RETIREMENT COMMITTEE ORIGINAL RECORD .....	143-5-4	18
MONTHLY INVESTMENT REPORTS .....	143-5-5	18

PAYROLL AUTHORIZATIONS .....	143-5-6	18
POLICE AND FIRE PENSION CORRESPONDENCE .....	143-5-2	18
<b><u>RISK MANAGEMENT</u> .....</b>	<b>143-6</b>	<b>18</b>
AUTO LIABILITY CLAIMS .....	143-6-6	18
GENERAL LIABILITY CLAIMS .....	143-6-1	18
LAW ENFORCEMENT LIABILITY CLAIMS.....	143-6-4	18
STAR TRAN LIABILITY CLAIMS .....	143-6-5	18
SUBROGATION CLAIMS .....	143-6-3	18
WORKER'S COMPENSATION REPORTS .....	143-6-2	18

## **SCHEDULE 143 - LINCOLN-LANCASTER PERSONNEL DEPARTMENT**

### **143-1        ADMINISTRATION**

#### **143-1-1        BUDGET PREPARATION MATERIALS**

**Dispose of after 3 years.**

#### **143-1-2        GENERAL CORRESPONDENCE**

Communications containing information related to the operations of the agency, but not having long-term significance or policy implications.

**Dispose of after 2 years.**

#### **143-1-3        COUNTY BILLING INFORMATION**

Information used to calculate the amount Lancaster County reimburses the City of Lincoln for Personnel Department expenses.

**Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

### **143-1-4        EMPLOYEE PERSONNEL FILES**

#### **143-1-4-1      PROBATIONARY AND REGULAR EMPLOYEE PERSONNEL FILES**

May include application for employment, employment contract, performance reports, notices of promotion or demotion, commendations or reprimands, termination of employment, etc.

**ORIGINAL RECORD: Microfilm after termination of employment; dispose of 2 years after termination of employment.**

**MICROFILM SECURITY COPY: Transfer to the County Records Center; dispose of after 50 years.**

**MICROFILM WORK COPY: Dispose of after 50 years.**

#### **143-1-4-2      CASUAL WORKER EMPLOYEE PERSONNEL FILES**

Casual, seasonal and temporary workers. May include application for employment, termination of employment, etc.

**Dispose of 5 years after termination of employment.**

#### **143-1-5        GRIEVANCES**

Grievances filed and not placed on Personnel Board agenda due to settlement or withdrawal.

**Dispose of after 3 years.**

#### **143-1-6        LEAVE REQUESTS**

**Dispose of after 1 year following the end of the fiscal year to which the records pertain, provided audit has been completed.<sup>1</sup>**



**143-1-7 OUTSIDE EMPLOYMENT REQUEST FORMS**

Forms filled out by employees who work jobs outside their City/County employment.  
**Dispose of after employee terminates outside employment or form is superseded, whichever is sooner.**

**143-1-8 PAYMENT VOUCHERS AND VOUCHER REGISTERS**

**Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**143-1-9 PAYROLL AUTHORIZATIONS**

Approval forms signed by the Director authorizing the payroll to be released for payment.  
**Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**143-1-10 PERSONNEL BOARD BOOKS**

Agendas, minutes, and exhibits for City Personnel Board and County Personnel Policy Board.

**ORIGINAL RECORD: Microfilm for security; dispose of after 20 years.**

**MICROFILM SECURITY COPY: Transfer to the County Records Center; dispose of after 20 years.**

**MICROFILM WORK COPY: Dispose of after 20 years.**

**143-1-11 PURCHASE ORDERS**

See Purchase Orders, Schedule 24.

**Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**143-1-12 RECORDS DISPOSITION REPORTS (COMPLETED FORMS)**

**Dispose of after 1 year.**

**143-1-13 TIME CARDS**

**Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**143-1-14 YEAR-END SICK LEAVE REPORTS**

City and County year-end sick leave usage reports.

**ORIGINAL RECORD: Microfilm and destroy originals after microfilming.**

**SECURITY MICROFILM: Transfer to the County Records Center; dispose of after 50 years.**

**MICROFILM WORK COPY: Dispose of after 50 years.**

**143-1-15 LAYOFF FILES**

Summary of City and County past layoffs and all paperwork associated with the layoffs.

**Dispose of after 10 years.**

**143-1-16 SUGGESTION SYSTEM**

Minutes and program information on city suggestion system.

**Dispose of after 50 years.**

## **143-2            BENEFITS**

### **143-2-2            FEBA ELECTION FORMS**

Flexible Employee Benefit Account election forms.

**Retain in accordance with 26 USC, Section 125, until the Internal Revenue Service sets the retention period.**

### **143-2-3            OPEN ENROLLMENT MISCELLANEOUS RECORDS**

May include open enrollment memos, calendars, schedules, etc.

**Dispose of after 2 years.**

### **143-2-4            RETIREMENT/DEFERRED COMPENSATION REPORTS**

Retirement and Deferred Compensation Reports from vendors containing YTD contributions, balances, vesting, etc.

**Dispose of after 7 years.**

### **143-2-5            FEBA REPORTS**

Reports detailing deductions taken by employee, by pay period.

**Dispose of after 2 years.**

### **143-2-6            BENEFIT CALLING LOG**

Log of calls made and received regarding city and county benefits.

**Dispose of after 7 years.**

## **143-3            CLASS AND COMPENSATION**

### **143-3-1            CITY/COUNTY CLASS DESCRIPTIONS**

The official City/County classification descriptions. Current classification descriptions are kept in notebooks. As classifications are revised, deleted, titles changed, etc., they are moved to another set of notebooks in order to maintain a historic record of all classifications.

**Dispose of after 50 years.**

### **143-3-2            CLASS DESCRIPTIONS FROM COMPARABLE CITIES/COUNTIES**

Class descriptions requested from other cities/counties in conjunction with classification studies.

**IF USED IN CONJUNCTION WITH A COMPREHENSIVE SALARY STUDY: Dispose of after 7 years.**

**ALL OTHER COPIES: See Schedule 24, Non-Record Material.**

### **143-3-3            CLASS AND COMPENSATION CORRESPONDENCE**

All correspondence between division and given City/County departments related to class and compensation issues.

**Dispose of after 2 years.**

**143-3-4            JOB AUDITS**

Paperwork completed by employees in the process of a job audit.

**Dispose of after 7 years.**

**143-3-5            NEGOTIATION MATERIALS**

City and Union proposals, costing, correspondence and minutes related to respective Unions. This is the supporting documentation which forms the eventual contract language.

**ORIGINAL RECORD: Microfilm and destroy after 10 years.**

**SECURITY MICROFILM: Transfer to the State Archives for security storage; dispose of after 50 years, subject to review by the State Archivist for possible accession.**

**MICROFILM WORK COPY: Dispose of after 50 years, subject to review by the State Archivist for possible accession.**

**143-3-6            PAY PLANS**

Annual published pay plans for City and County.

**Dispose of after 50 years.**

**143-3-7            SALARY SURVEYS**

City and County salary and benefit surveys sent to participating cities/counties, for use in contract negotiations.

**Dispose of after 7 years.**

**143-3-8            SPECIAL STUDIES AND/OR REPORTS**

Special studies done for a given classification, department, etc.

**Dispose of after 7 years.**

**143-3-9            UNION CONTRACTS**

Official contracts between the various labor unions and the City/County covering wages and benefits.

**Dispose of after 50 years.**

**143-3-10          COMMISSION ON INDUSTRIAL RELATIONS (CIR)  
DOCUMENTS**

City and County documents provided for CIR Commission proceedings.

**Dispose of 20 years after completion of proceedings.**

**143-4              EMPLOYMENT**

**143-4-1            GENERAL EMPLOYMENT RECORDS**

**143-4-1-1        APPLICANT TEST PAPERS**

Test papers of job applicants.

**Dispose of after 3 years.**

**143-4-1-2        APPLICANT TEST SCORES SUMMARY REPORT**

Report summarizing the results of certain employment test scores.

**Dispose of after 50 years.**

**143-4-1-3 DISCRIMINATION COMPLAINTS**

**COMPLAINTS RECEIVED FROM JOB APPLICANTS:** Dispose of after 3 years.

**COMPLAINTS RECEIVED FROM EMPLOYEES:** Dispose of 10 years after termination of employment.

**143-4-1-4 EEO-4 REPORTS**

Federally mandated annual statistical reports documenting the demographics of the workplace.

**ORIGINAL RECORD:** Dispose of after microfilming.

**SECURITY MICROFILM:** Transfer to the County Records Center; dispose of after 50 years.

**MICROFILM WORK COPY:** Dispose of after 50 years.

**143-4-1-5 EMPLOYMENT CONTRACTS**

Contracts, including but not limited to, test development and temporary employment services.

**Dispose of 5 years after expiration, provided audit has been completed.<sup>1</sup>**

**143-4-1-6 EMPLOYMENT TESTS**

Examples of tests used to determine an applicant's qualification for certain positions.

**Dispose of after 10 years.**

**143-4-1-7 JOB ADVERTISEMENTS**

Media advertisements of vacant jobs.

**Dispose of after 5 years.**

**143-4-1-8 JOB ANNOUNCEMENTS**

Public announcement of job announcements which describe the title, salary and required qualifications.

**Dispose of after 5 years.**

**143-4-1-9 JOB APPLICATIONS**

Applications of persons NOT HIRED.

**Dispose of after 3 years.**

**143-4-1-10 JOB REQUISITIONS**

Requisitions to fill vacant positions.

**Dispose of after 5 years.**

**143-4-1-11 MANAGEMENT PROCESS FILES**

Records documenting the process used to recruit and select certain management or unique positions.

**Dispose of after superseded.**

**143-4-1-12 PROMOTIONAL INTERVIEW QUESTIONS**

Interview questions for vacant positions posted to internal candidates only in accordance with LMC 2.76.235.

**Dispose of after 3 years.**

**143-4-1-13 SUPPLEMENTAL QUESTIONNAIRES**

Questionnaires supplemental to the job application with job specific questions.

**Dispose of after 5 years.**

**143-4-1-14 EXIT INTERVIEWS**

Forms completed by employees who have terminated city and county employment.

**Dispose of after 5 years.**

**143-4-2 DRUG AND ALCOHOL TESTING RECORDS**

**143-4-2-1 ALCOHOL PROGRAM ANNUAL MANAGEMENT INFORMATION SYSTEM (MIS) REPORTS**

Federal Department of Transportation Management Information System Reports.

**Dispose of after 5 years.**

**143-4-2-2 ALCOHOL PROGRAM CALIBRATION DOCUMENTATION**

Including, but not limited to, documents specifying the machine calibrated (e.g., by serial number), the date of calibration, the certified technician calibrating the equipment, and the results of the calibration. Signed by the calibrating technician, manufacturer's calibration schedule for the model of equipment used, and certification record for the calibrating technician.

**Dispose of after 5 years.**

**143-4-2-3 ALCOHOL PROGRAM EDUCATION AND TRAINING RECORDS**

Including, but not limited to, materials on alcohol misuse awareness, including a copy of the employer's policy on alcohol misuse, documentation of compliance with requirements of 49 CFR 654.81, educational materials that explain the regulatory requirements, the employer's policy and procedures with respect to implementing the regulatory requirements, written notice to every safety-sensitive employee of the availability of the above materials, and written notice to all safety-sensitive employee organizations (i.e., collective bargaining units) of availability of above materials.

**Dispose of 10 years after termination of employment.**

**143-4-2-4 ALCOHOL PROGRAM RECORDS OF EMPLOYEE EVALUATION AND REFERRAL**

Including, but not limited to, records pertaining to a determination by a substance abuse professional concerning a safety-sensitive employee's need for assistance, and records concerning a safety-sensitive employee's compliance with the recommendations of the substance abuse professional.

**Dispose of after 5 years.**

**143-4-2-5 ALCOHOL PROGRAM RECORDS OF TEST RESULTS LESS THAN 0.02**

Employer's copy of the alcohol test form, including results of the test.

**Dispose of after 1 year.**

**143-4-2-6      ALCOHOL PROGRAM RECORDS RELATED TO THE  
COLLECTION PROCESS EXCEPT CALIBRATION OF  
EVIDENTIARY BREATH TESTING DEVICES**

Including, but not limited to collection logbooks (if used), documents relating to the random selection process, verification of Breath Alcohol Technician training, documents generated in connection with decisions to administer reasonable suspicion alcohol tests, documents in connection with decisions of post-accident tests and documents showing existence of medical explanation of inability of safety-sensitive employee to provide enough breath for test.

**Dispose of after 2 years.**

**143-4-2-7      ALCOHOL TEST RECORDS WITH ALCOHOL READINGS OF  
0.02 OR GREATER**

Including, but not limited to, employer's copy of the alcohol test form, including the results of the test, documents related to the refusal of any safety-sensitive employee to submit to an alcohol test required by 49 CFR 654, documents presented by a covered employee to dispute the result of an alcohol test administered under 49 CFR 654.

**Dispose of after 5 years.**

**143-4-2-8      DRUG AND ALCOHOL TESTING CORRESPONDENCE**

Correspondence relating to the administration of the drug and alcohol programs.

**Dispose of after 3 years.**

**143-4-2-9      DRUG PROGRAM ANNUAL MIS REPORTS**

Federal Department of Transportation Management Information System Reports.

**Dispose of after 5 years.**

**143-4-2-10     DRUG PROGRAM EDUCATION AND TRAINING RECORDS**

Including, but not limited to, training materials on drug use awareness, including a copy of the employer's policy on prohibited drug use, names of safety-sensitive employees attending training on prohibited drug use and the dates and times of such training, documentation of training provided to supervisors to qualify them to make reasonable suspicion determinations, certification that training complies with the regulatory requirements, and procedures to assess those with verified positive tests, providing available services, referral, suspension, and dismissal.

**Dispose of 10 years after termination of employment.**

**143-4-2-11     DRUG PROGRAM RECORDS OF COVERED EMPLOYEE  
REFERRALS TO SUBSTANCE ABUSE PROFESSIONAL AND  
RETURN TO DUTY AND FOLLOW-UP**

Including, but not limited to, records pertaining to a determination by a substance abuse professional concerning a safety-sensitive employee's suitability to return to work as a safety-sensitive employee and records concerning a safety-sensitive employee's entry into and completion of the program of rehabilitation recommended by the substance abuse professional.

**Dispose of after 5 years.**

**143-4-2-12      DRUG PROGRAM RECORDS OF COVERED EMPLOYEE  
VERIFIED POSITIVE DRUG TEST RESULTS**

Including, but not limited to, Employer's copy of the chain-of-custody form, documents related to the refusal of any safety-sensitive employee to dispute the result of a drug test administered under 49 CFR part 653.

**Dispose of after 5 years.**

**143-4-2-13      DRUG PROGRAM RECORDS RELATED TO THE  
COLLECTION PROCESS**

Including, but not limited to, collection logbooks (if used), documents relating to the random selection process, documents generated in connection with decisions to administer reasonable suspicion drug tests, documents generated in connection with decisions on post-accident tests, and MRO documents showing existence of medical explanation of inability of safety-sensitive employee to provide enough urine.

**Dispose of after 2 years.**

**143-4-2-14      FHWA, FTA, NON-DOT POLICY**

Policies concerning the administration of the Federal Highway Administration, Federal Transit Authority and Non-Department of Transportation substance abuse and drug and alcohol testing programs.

**ORIGINAL RECORD: Microfilm for security; dispose of after 50 years.**

**SECURITY MICROFILM: Transfer to the County Records Center; dispose of after 50 years.**

**MICROFILM WORK COPY: Dispose of after 50 years.**

**143-4-2-15      RECORDS OF VERIFIED NEGATIVE DRUG TEST RESULTS**

Employer's copy of custody and control form.

**Dispose of after 1 year.**

**143-4-2-16      THIRD (3RD) PARTY ADMINISTRATOR CONTRACT**

**Dispose of 5 years after completion of contract, provided audit has been completed.<sup>1</sup>**

**143-4-2-17      THIRD PARTY DRIVER RECORDS**

Application forms and test papers of a driver taking a test for a Commercial Driver's License.

**Dispose of 2 years after date of test.**

**143-4-2-18      THIRD PARTY EXAMINER RECORDS**

Including, but not limited to, driving records, examination score sheets, and Examiner identification cards pertaining to the FHWA Third Party Examiner Programs.

**Dispose of 2 years after termination of examiner, provided audit has been completed.<sup>1</sup>**

**143-4-3              EMPLOYEE ASSISTANCE PROGRAM (EAP) RECORDS**

**143-4-3-1          ANNUAL REPORTS (EAP)**

Annual statistical report of employee program participation.

**Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**143-4-3-2 CLIENT REPORTS**

Reports from the Employee Assistance Program regarding the clients' program participation where client signs a release of information.

**Dispose of after 1 year.**

**143-4-3-3 CONTRACTS**

Includes, but not limited to, contracts with providers of services for Employee Assistance Programs, drug and alcohol testing programs, training, and Third Party Examiners program.

**Dispose of 5 years after fulfillment, provided audit has been completed.<sup>1</sup>**

**143-4-3-4 EAP CORRESPONDENCE**

Correspondence relating to the administration of the Employee Assistance Program.

**Dispose of after 3 years.**

**143-4-3-5 CRITICAL INCIDENT STRESS POLICIES**

Including, but not limited to, Critical Incident Stress Policies pertaining to Fire, Police, 911, Corrections, and Parks and Recreation.

**Dispose of after superseded.**

**143-4-3-6 FIRE, POLICE, AIRPORT AUTHORITY MONTHLY REPORTS**

Monthly statistical report from the Employee Assistance Program regarding program participation.

**Dispose of after 1 year.**

**143-4-3-7 MEETING MINUTES/NOTICES**

Meeting minutes and notices of certain sub or component programs within the Employee Assistance Program, including but not limited to police and fire department.

**Dispose of after 1 year.**

**143-4-3-8 MONTHLY REPORTS**

Monthly statistical reports regarding Employee Assistance Program participation.

**Dispose of after 1 year.**

**143-4-3-9 TRAINING RECORDS**

Records documenting attendance at training programs conducted by the Employee Assistance Program for employees.

**Dispose of 10 years after termination of employment.**

**143-4-4 MAYOR'S AND COMMISSIONER'S AWARD OF EXCELLENCE RECORDS**

**143-4-4-1 MEETING MINUTES**

Monthly meeting minutes of the Mayor's and Commissioner's Award of Excellence Committee.

**RECORD COPY: Dispose of after 50 years.**

**ALL OTHER COPIES: Dispose of when no longer of reference value.**



#### **143-4-4-2        NOMINATIONS**

Nominations submitted to the Mayor's and Commissioner's Award of Excellence Committee for consideration of an award.

**Dispose of 10 years after termination of employment.**

#### **143-4-4-3        POLICY**

Official policy concerning the Mayor's and Commissioner's Award of Excellence Program.

**ORIGINAL RECORD: Dispose of after microfilming.**

**SECURITY MICROFILM: Transfer to the County Records Center; dispose of after 50 years.**

**MICROFILM WORK COPY: Dispose of after 50 years.**

#### **143-4-4-4        REPORTS**

Annual report summarizing nomination, award and fiscal information for the Mayor's and Commissioner's Award of Excellence Program.

**ORIGINAL RECORD: Dispose of after microfilming.**

**SECURITY MICROFILM: Transfer to the County Records Center; dispose of after 50 years.**

**MICROFILM WORK COPY: Dispose of after 50 years.**

### **143-4-5        TRAINING RECORDS**

#### **143-4-5-1        ATTENDANCE RECORDS**

Records documenting employee attendance at in-service training programs.

**PAPER COPY PRIOR TO 1985: Dispose of after 50 years.**

**PAPER COPY 1985 AND AFTER: Enter data into electronic database, dispose of after verification of data.**

**ELECTRONIC DATA: Backup daily; dispose of after 50 years.**

**SECURITY BACKUP COPY: Dispose of after superseded.**

#### **143-4-5-2        COURSE FILE**

Course outline, instructor, etc.

**Dispose of after 10 years.**

#### **143-4-5-3        FLYERS**

Bulletins announcing in-service training programs.

**RECORD COPY: Retain permanently.**

**ALL OTHER COPIES: Dispose of all other copies when no longer of reference value.**

### **143-5        POLICE AND FIRE PENSION**

#### **143-5-1        ACTUARY REPORTS**

Annual valuation of defined benefit retirement plan detailing assets, liabilities, actual member data and assumptions.

**Dispose of after 20 years.**

**143-5-2 POLICE AND FIRE PENSION CORRESPONDENCE**

General correspondence relating to Police and Fire Pension.

**Dispose of after 2 years.**

**143-5-3 MEMBER FILES**

Individual files for each pension member containing plan election documents, beneficiary designation, and account information.

**Dispose of 10 years after death of employee or surviving beneficiary.**

**143-5-4 MINUTES FOR CITY COUNCIL, MAYOR, RETIREMENT COMMITTEE**

**ORIGINAL RECORD:** Retain one copy permanently; OR microfilm and transfer originals to the State Archives after 10 years. This record may NOT be destroyed after microfilming.

**SECURITY MICROFILM:** Transfer to the State Archives; retain permanently.

**MICROFILM WORK COPY:** Retain permanently.

**143-5-5 MONTHLY INVESTMENT REPORTS**

**Dispose of after 10 years, provided audit has been completed.<sup>1</sup>**

**143-5-6 PAYROLL AUTHORIZATIONS**

Approval forms signed by the Director authorizing the payroll to be released for payment.

**Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**143-6 RISK MANAGEMENT**

**143-6-1 GENERAL LIABILITY CLAIMS**

**Dispose of 5 years after closure.**

**143-6-2 WORKER'S COMPENSATION REPORTS**

**Dispose of 5 years after closure.**

**143-6-3 SUBROGATION CLAIMS**

**Dispose of 5 years after closure.**

**143-6-4 LAW ENFORCEMENT LIABILITY CLAIMS**

**Dispose of 5 years after closure.**

**143-6-5 STAR TRAN LIABILITY CLAIMS**

**Dispose of 5 years after closure.**

**143-6-6 AUTO LIABILITY CLAIMS**

**Dispose of 5 years after closure.**

**DELETED RECORDS**

**143-2-1**            BC/BS CLAIM ANALYSIS

**NOTE**

1. These records may be disposed of after the required retention period, provided the audit has been completed with the audit released and all related audit comments resolved. Check with the organization that performed the audit, and, if applicable, the Federal cognizant agency if there is a question whether resolution is complete. For records retention purposes only, the issuance of an audit waiver (or an Unaudited Financial Statement for villages) by the Auditor of Public Accounts shall take the place of an actual audit.

## RECORDS DISPOSITION REPORT

<b>TO: SECRETARY OF STATE</b> <b>RECORDS MANAGEMENT DIVISION</b> <b>440 S. 8<sup>TH</sup> STREET SUITE 210</b> <b>LINCOLN, NE 68508-2294</b>	AGENCY
	DIVISION
	SUB-DIVISION

### REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

### OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

--

DATE	SIGNATURE
------	-----------

**SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.**

RMA 03006D

## VOLUME ESTIMATING GUIDE

**(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)**

Vertical File Cabinet, 4 drawer letter-size .....	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size .....	9 cubic feet
Lateral File, 4 drawer/shelf legal size .....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load .....	50 cubic feet